

TRANSMITTAL (*Original Corp. License App.*)

RE 201A (Rev. 7/98)

GENERAL INFORMATION

- ✓ Read Corporate License Instructions (RE 218) carefully.
- ✓ Items to be included in your packet are listed below. Check off each item as you assemble your packet.
- ✓ Attach this transmittal to the top of all required documents before submitting to the Department.
- ✓ The following forms are referenced by name and/or number:

RE 201	Corporation License Application
RE 203	Branch Office Application
RE 206	Examination & Licensing Fees
RE 212	Corporation Background Statement

NEW CORPORATION***Required Documents***

- ☐ RE 201 — Completed by and submitted for each officer applying for an officer license.
- ☐ RE 212 — Regulation 2746 requires the designated officer who obtains the original corporation license to file a corporation background statement for any director, chief executive officer, president, first level vice presidents, secretary, chief financial officer and subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than 10% of the corporation's shares, if such a person has been subject of any of the items enumerated in the regulation. If none of the officers have been a subject of any of the items enumerated in the regulation, then an RE 212 is **not** needed. In all instances, the broker-officer must complete and sign the attached certification (Section III of application). (See reverse for text of Regulation 2746.)
- ☐ Certificate of Status — A Certificate of Status from the California Secretary of State filed within 30 days from the date the application is submitted to our office. Articles of Incorporation will be accepted in lieu of the Certificate of Status provided the articles were filed with the Secretary of State within 6 months preceding the date the application is submitted to our office.
- ☐ License fee (Refer to RE 206 for current fees) — Required for each officer license being applied for.

Additional Documents Which May be Necessary

- ☐ Fictitious Business Name Statement — This item is needed if the corporation will conduct business under a fictitious business name. The fictitious business name

must be filed with the county clerk listing the corporation as registrant.

- ☐ RE 203 — A branch office license is required for each additional location from which the corporation will conduct business.
- ☐ Documentation regarding litigation or convictions referred to in RE 212 or RE 201.
- ☐ Approved continuing education completed within previous 4 years, if designated officer applicant does not hold an individual broker license.

**EXISTING CORPORATION
NEW/CHANGE OF OFFICERS*****Change of Designated Officer***

- ☐ RE 201 — Completed by and submitted for new incoming designated officer.
- ☐ RE 212 — Any corporation licensed after June 30, 1990 which became subject to the provisions of Regulation 2746 is required to file an RE 212 whenever there is an addition or a change in corporation officers or a natural person owning or controlling more than ten percent of the corporation shares **if** such a person has been subject of any of the items enumerated in the regulation.
- ☐ Letter of resignation from former designated broker-officer or corporate resolution removing that individual from the employ of the corporation.
- ☐ License fee (Refer to RE 206 for current fees) — Fee will only be required if the former designated officer is remaining as a licensed officer of the corporation. If the current designated broker-officer is being replaced, a fee is not required. The incoming broker-officer will receive the balance of the license term.

Adding an Additional Licensed Officer

- ☐ RE 201
- ☐ RE 212 — Refer to "RE 212" under "Change of Designated Officer."
- ☐ License fee (Refer to RE 206 for current fees)

Note: A late fee must be submitted if an officer substitution is requested and the corporation license has expired or if the new designated broker does not have current valid broker license status. If an additional officer license is requested, a fee (equal to the late fee) must be submitted if the additional officer applicant does not have current valid broker license status.

2746. Corporate Real Estate Brokers, Officers, Directors and Shareholders.

- (a) At the time of application for, or in the reinstatement of, an original real estate broker license, the designated officer shall file a background statement of information for each director, the chief executive officer, the president, first level vice presidents, secretary, chief financial officer, subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, if such person has been the subject of any of the following:
 - (1) Received an order or judgment issued by a court or governmental agency during the preceding 10 years temporarily or permanently restraining or enjoining any business conduct, practice or employment;
 - (2) Has had a license to engage in or practice real estate or other regulated profession, occupation or vocation denied, suspended, or revoked during the preceding 10 years;
 - (3) Engaged in acts requiring a real estate license of any state without the benefit of a valid license or permit authorizing that conduct during the preceding 10 years which have been enjoined by a court of law or administrative tribunal;
 - (4) Been convicted of a crime which is substantially related to the qualifications, functions or duties of a licensee of the Department as specified in Section 2910 of these Regulations (excluding drunk driving, reckless driving and speeding violations).
- (b) The background statement shall be set forth in DRE Form 212 and shall inquire only about the information to be disclosed pursuant to subdivision (a). The background statement must be verified and completed by each corporate officer, director or stockholder as named in subdivision (a) to the fullest extent of the signatory's actual knowledge.
- (c) Whenever there is a change in the persons whose background statements are required to be on file with the Department for a corporate licensee pursuant to subdivision (a) or an addition to the persons required to file statements pursuant to subdivision (a), the designated officer of the corporation shall, within 30 days thereafter, file with the Department a background statement of information for each new or changed person.